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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/053,788	01/18/2002	Motoi Sato	13700-269115	4278
23370 7590 05/21/2007 JOHN S. PRATT, ESQ KILPATRICK STOCKTON, LLP 1100 PEACHTREE STREET ATLANTA, GA 30309			EXAMINER DURAN, ARTHUR D	
			ART UNIT 3622	PAPER NUMBER
			MAIL DATE 05/21/2007	DELIVERY MODE PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No.		Applicant(s)	
	10/053,788		SATO ET AL.	
	Examiner		Art Unit	
	Arthur Duran		3622	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 07 May 2007.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-18 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-18 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

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DETAILED ACTION

1. Claims 1-18 have been examined.

Response to Amendment

2. The Remarks filed on 5/7/07 are insufficient to overcome the prior rejection.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1-18 are rejected under 35 U.S.C. 103(a) as being unpatentable over Greening (2001/0013009) in view of Bergh (6,112,186).

Claims 1, 9, 17, 18: Greening discloses a recommended item presentation method, comprising the steps of:

(a) obtaining client identifier associated client preference estimating factor information of a plurality of clients which is information according to which a preference of each client is to be estimated; and

(b) receiving a recommended item presentation request and a client preference estimating factor information of one client from an item provider server for providing items to a plurality of clients through a network, where the client preference estimating factor

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information indicates a preference of the one client,[], producing a recommended item list according to the client identifier associated client preference estimating factor information and the client preference estimating factor information, and transmitting the recommended item list to the item provider server (Abstract; Figures 1, 2, 4, 6, 7, 11).

Greening does not explicitly disclose without identifying the one client.

However, Bergh discloses managing user privacy or not identifying the client (col 31, line 65-col 32, line 20).

Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to add Bergh not identifying the client to Greenings recommendations disclosure. One would have been motivated to do this in order to better accommodate user desired exposure levels.

Additionally, Bergh further discloses "without requiring information to identify that client". Bergh discloses these features:

"(160) It is desirable to provide users with an ability to control the entities to which the central server 70 will transmit data about that user. It is further desirable to allow the users to select certain types of information which should not be transmitted e.g., a user may wish to have preference data transmitted but not demographic data" (col 31, lines 48-55).

Hence, Bergh discloses that user preferences can be utilized for recommendations even if user demographic or identifying information is not known.

Bergh goes on to describe how user privacy can be controlled by having control over each piece of user relevant information and whether or not that information is to be shared (col

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31, line 65-col 32, line 20). Hence, Bergh can have privacy control over any user related information or user identifying or demographic or preference information.

Therefore, it would be obvious to Greening that both preferences related to identifying information and preferences related to private/non-identifying information can be utilized for recommendations. Please see the motivation above.

Claim 2, 10: The combination of the prior art discloses the above. Greening further discloses that the step (a) obtains the client identifier associated client preference estimating factor information by receiving a client preference estimating factor information list from a client preference estimating factor information list providing server which collects the client identifier associated client preference estimating factor information from a plurality of clients (Abstract, [15]).

Claims 3, 11: The combination of the prior art discloses the above. Greening further discloses that the step (a) receives the client identifier associated client preference estimating factor information list in a form of a list of item identifiers of viewed/purchased items at the item provider server and dates and times of viewings/purchases of the viewed/purchased items for each client identifier, or a list of item identifiers of viewed/purchased items at the item provider server and ratings indicating levels of interest of each client with respect to the viewed/purchased items for each client identifier, or a list of item identifiers of interested items of each client for each client identifier (Abstract, [15]).

Claim 4, 5, 12, 13: The combination of the prior art discloses the above. Greening does not explicitly disclose the step of paying a fee for transmission of the client identifier associated

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client preference estimating factor information list to the client preference estimating factor information list providing server.

Greening does not explicitly disclose the step of receiving a fee for transmission of the recommended item list from the item provider server.

However, Bergh discloses charging a fee for providing relevant information (col 32, line 50-col 33, line 27).

Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to add Bergh's charging a fee for providing relevant information. One would have been motivated to do this in order to better provide a source of revenue.

Claims 6, 14: The combination of the prior art discloses the above. Greening further discloses that the step (a) also processes the client identifier associated client preference estimating factor information into a client preference estimating factor information map and the step (b) produces the recommended item list according to the client preference estimating factor information map and the client preference estimating factor information (Abstract; Figures 11, 3, 1, 2, 4, 6, 7).

Claims 7, 15: The combination of the prior art discloses the above. Greening further discloses that the step (a) produces the client preference estimating factor information map in a form of any of a list of item identifiers of accessed items of each client for each client identifier, a list of item identifiers of accessed items of each client and ratings indicating levels of interest of each client with respect to the accessed items for each client identifier, a list of client identifiers of accessing clients of each item for each item identifier, a list of client

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identifiers of accessing clients of each item and ratings indicating levels of interest of each client with respect to each item for each item identifier, and a list of correlation values among correlated items (Abstract; Figures 11, 3, 1, 2, 4, 6, 7).

Claims 8, 16: The combination of the prior art discloses the above. Greening further discloses that the step (b) produces the recommended item list by: obtaining a related client list by extracting client identifiers contained in a list of client identifiers for each item that constitutes the client preference estimating factor information map, for each item identifier in a list of item identifiers that constitutes the client preference estimating factor information received along with the recommended item presentation request from the item provider server; narrowing down the related client list by extracting item identifiers contained in a list of item identifiers for each client that constitutes the client preference estimating factor information map, for each client identifier in, the related client list, counting a number of overlaps between extracted item identifiers and item identifiers in the list of item identifiers that constitutes the client preference estimating factor information, for each client identifier in the related client list, rearranging client identifiers in the related client list in a descending order of counted number of overlaps, and setting a first prescribed number of client identifiers from a top of a rearranged related client list as a new related client list; obtaining a related item list by extracting item identifiers contained in the list of item identifiers for each client, for each client identifier in the new related client list; and

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narrowing down the related item list by extracting client identifiers contained in the list of client identifiers for each item, for each item identifier in the related item list, counting a number of overlaps between extracted client identifiers and client identifiers in the new related client list, for each item identifier in the related item list, rearranging item identifiers in the related item list in a descending order of counted number of overlaps, and setting a second prescribed number of item identifiers from a top of a rearranged related item list as the recommended item list (Greening, Figures 1, 4-11; [18, 42, 43, 45, 68, 69]).

Also, Bergh discloses features relevant to the steps in Applicant's claims 8 and 16 (Bergh, Figures 1, 2, 3; col 10, lines 10-46).

Response to Arguments

4. Applicant's arguments with respect to the claims have been considered but are not found persuasive.

On page 3 and 4 of the Applicant's Remarks dated 5/7/2007, Applicant states that:

"Greening does not describe or suggest "receiving a recommended item presentation request and a client preference estimating factor information of one client from an item provider server", since Greening describes obtaining a request from a client. Nor does Greening describe "providing items to a plurality of clients through a network, where the client preference estimating factor information indicates a preference of the one client, without identifying the one client", since Greening describes information that identifies a specific client. . .

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Therefore, Bergh does not disclose or suggest "receiving a recommended item presentation request and a client preference estimating factor information of one client from an item provider server for providing items to a plurality of clients through a network, where the client preference estimating factor information indicates a preference of the one client, without identifying the one client", as recited in step (b) of Claim 1. Moreover, Bergh does not disclose or suggest producing the recommended item list from (1) and (2) (as described above), without requiring information to identify that client, as recited in step (b) of Claim 1."

Examiner notes that while specific references were made to the prior art, it is actually also the prior art in its entirety and the combination of the prior art in its entirety that is being referred to. Also, one cannot show nonobviousness by attacking references individually where the rejections are based on combinations of references. See *In re Keller*, 642 F.2d 413, 208 USPQ 871 (CCPA 1981); *In re Merck & Co.*, 800 F.2d 1091, 231 USPQ 375 (Fed. Cir. 1986).

And, Examiner notes that it must be presumed that the artisan knows something about the art apart from what the references disclose. *In re Jacoby*, 309 F.2d 513, 135 USPQ 317 (CCPA 1962). The problem cannot be approached on the basis that artisans would only know what they read in references; such artisans must be presumed to know something about the art apart from what the references disclose. *In re Jacoby*. Also, the conclusion of obviousness may be made from common knowledge and common sense of a person of ordinary skill in the art without any specific hint of suggestion a particular reference. *In re Bozek*, 416 F.2d 1385, USPQ 545 (CCPA 1969). And, every reference relies to some extent on knowledge or persons skilled in the art to complement that which is disclosed therein. *In re Bode*, 550 F.2d 656, USPQ 12 (CCPA 1977).

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And, Bergh does disclose "without requiring information to identify that client". Bergh discloses these features:

"(160) It is desirable to provide users with an ability to control the entities to which the central server 70 will transmit data about that user. It is further desirable to allow the users to select certain types of information which should not be transmitted e.g., a user may wish to have preference data transmitted but not demographic data" (col 31, lines 48-55).

Hence, Bergh discloses that user preferences can be utilized for recommendations even if user demographic or identifying information is not known.

Bergh goes on to describe how user privacy can be controlled by having control over each piece of user relevant information and whether or not that information is to be shared (col 31, line 65-col 32, line 20). Hence, Bergh can have privacy control over any user related information or user identifying or demographic or preference information.

Therefore, it would be obvious to Greening that both preferences related to identifying information and preferences related to private/non-identifying information can be utilized for recommendations.

Also, Examiner notes that it is the Applicant's claims as stated in the Applicant's claims that are being rejected with the prior art. Also, although the claims are interpreted in light of the specification, limitations from the specification are not read into the claims. See *In re Van Geuns*, 988 F.2d 1181, 26 USPQ2d 1057 (Fed. Cir. 1993). And, Examiner notes that claims are given their broadest reasonable construction. See *In re Hyatt*, 211 F.3d 1367, 54 USPQ2d 1664 (Fed. Cir. 2000).

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And, Examiner notes that Applicant's claims minimally state how any interaction between the anonymous and identifying information occurs. The claims only disclose an item provider server. The claims do not state that different parties are involved or how different parties interact. The claims do not state that the anonymous information and identifying information come from different sources. The claims do not state that the anonymous information and identifying information are for the same client.

Also, Examiner notes that Bergh discloses that user information can be stored on multiple servers (col 12, lines 42-50).

Conclusion

The following prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

a) Bieganski (6,321,221), Lokuge (5,907,836), Sumita (5,907,836) disclose recommendation inventions with relevant features;

b) Dedrick (5,724,521) and Goldhaber (5,794,210) disclose charging for information providing and protecting user privacy.

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period


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will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Arthur Duran whose telephone number is (571) 272-6718. The examiner can normally be reached on Mon- Fri, 8:00-4:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Eric Stamber can be reached on (571) 272-6724. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.


Arthur Duran
Primary Examiner
Art Unit 3622

5/14/2007